

**COPY**

Attorney Docket No. 50325-0083

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Sunil K. Srivastava, et al.

Serial No.: 09/470,054

Filed on: December 22, 1999

) Confirmation No.: 5708  
)  
) Examiner: DARROW,  
) JUSTIN T.  
)  
) Group Art Unit No.: 2132

For: METHOD AND APPARATUS FOR DISTRIBUTING AND UPDATING PRIVATE  
KEYS OF MULTICAST GROUP MANAGERS USING DIRECTORY REPLICATION

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form, if needed. It is respectfully requested that the cited documents be considered and that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

- \_\_\_\_\_ 37 C.F.R. §1.97(b).  
  X   37 C.F.R. §1.97(c). If so, then this Information Disclosure Statement includes one of the following:  
\_\_\_\_\_ A statement pursuant to 37 C.F.R. §1.97(e)

\_\_\_\_\_ 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

\_\_\_\_\_ 1.97(e)(2) The undersigned hereby states that no item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

  X   A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

\_\_\_\_\_ 37 C.F.R. §1.97(d). If so, then this Information Disclosure Statement includes the following:

\_\_\_\_\_ A statement pursuant to 37 C.F.R. §1.97(e)

\_\_\_\_\_ 1.97(e)(1) The undersigned hereby states that each item of information contained in this information disclosure statement was first cited in communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement; OR

\_\_\_\_\_ 1.97(e)(2) The undersigned hereby states that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this information disclosure statement.

AND

\_\_\_\_\_ A check for \$180.00 for the fee under 37 C.F.R. §1.17(i) for submission of the Information Disclosure Statement.

\_\_\_\_\_ 37 C.F.R. §1.97(i). Wherein applicants are submitting references before the grant of a patent to be placed in the file but not considered by the Patent office.

- (1) Accordingly, copies of the references as listed on the attached Form PTO 1449 are submitted herewith for placement in the file. No certification or fees are deemed necessary.

Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302. A duplicate of this sheet is enclosed.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: April 15, 2004



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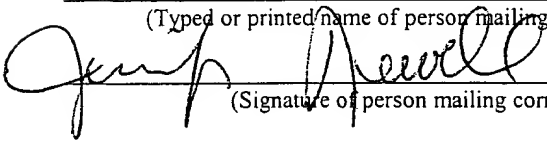
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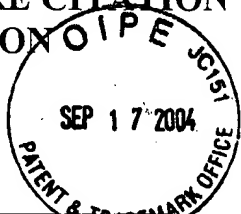
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Jennifer Newell

(Typed or printed name of person mailing correspondence)



(Signature of person mailing correspondence)

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|---|--|-----------------------------------|--------------------------|
| <b>INFORMATION DISCLOSURE CITATION<br/>IN AN APPLICATION</b><br>(PTO-1449)        |  | ATTY. DOCKET NO.<br>50325-0082    | SERIAL NO.<br>09/470,054 |
|  |  | APPLICANT:<br>Sunil K. Srivastava |                          |
|   |  | FILING DATE:<br>December 22, 1999 | GROUP:<br>2132           |

| U.S. PATENT DOCUMENTS |                          |                      |                                      |  |  |  |
|-----------------------|--------------------------|----------------------|--------------------------------------|--|--|--|
| Exam.<br>Initial*     | Cite<br>No. <sup>1</sup> | U.S. Patent Document |                                      | Name of Patentee or Applicant<br>of Cited Document | Date of Publication of<br>Cited Document<br>MM-DD-YYYY | Pages, Columns,<br>Lines, Where<br>Relevant<br>Passages or<br>Relevant Figures<br>Appear |
|                       |                          | Number               | Kind Code <sup>2</sup><br>(If known) |  |  |  |
|                       |                          | 4,531,020            |                                      | Wechselberger et al.                               | 07-23-1985   |  |
|                       |                          | 4,881,263            |                                      | Herbison et al.                                    | 11-14-1989   |  |
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|                       |                          | 5,630,184            |                                      | Roper et al.                                       | 05-13-1997   |  |
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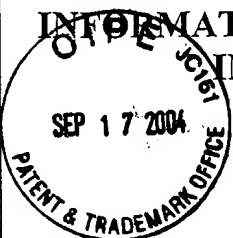
| FOREIGN PATENT DOCUMENTS |                          |                         |                     |                                      |  |  |  |                |
|--------------------------|--------------------------|-------------------------|---------------------|--------------------------------------|--|--|--|----------------|
| Exam.<br>Initial*        | Cite<br>No. <sup>1</sup> | Foreign Patent Document |                     |                                      | Name of Patentee or Applicant<br>of Cited Document | Date of<br>Publication of<br>Cited<br>Document<br>MM-DD-<br>YYYY | Pages,<br>Columns,<br>Lines, Where<br>Relevant<br>Passages or<br>Relevant<br>Figures<br>Appear | T <sup>6</sup> |
|                          |                          | Office <sup>3</sup>     | Number <sup>4</sup> | Kind Code <sup>5</sup><br>(If known) |  |  |  |                |
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| Examiner Signature | Date Considered |
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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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|---|---|---------------------------------|
| <b>INFORMATION DISCLOSURE CITATION</b><br><b>IN AN APPLICATION</b><br><b>(PTO-1449)</b><br> | <b>ATTY. DOCKET NO.</b><br>50325-0082     | <b>SERIAL NO.</b><br>09/470,054 |
|   | <b>APPLICANT:</b><br>Sunil K. Srivastava  |                                 |
|   | <b>FILING DATE:</b><br>September 29, 1999 | <b>GROUP:</b><br>2132           |

### U.S. PATENT DOCUMENTS

| Exam. Initial* | Cite No. <sup>1</sup> | U.S. Patent Document |                                   | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|----------------|-----------------------|----------------------|-----------------------------------|---|--|---|
|                |                       | Number               | Kind Code <sup>2</sup> (If known) |   |  |   |
|                |                       | 6,216,231            | B1                                | Stubblebine                                     | 04-10-2001                                       |   |
|                |                       | 6,240,188            | B1                                | Dondeti et al.                                  | 05-29-2001                                       |   |
|                |                       | 6,272,135            | B1                                | Nakatsugawa                                     | 08-07-2001                                       |   |
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|                |                       | 6,584,566            | B1                                | Hardjono  | 06-24-2003                                       |   |
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|                |                       | 6,684,331            | B1                                | Srivastava                                      | 01-27-2004                                       |   |
|                |                       |                      |                                   |   |  |   |

### FOREIGN PATENT DOCUMENTS

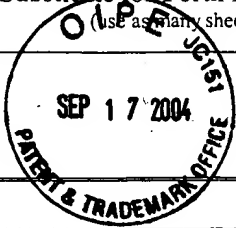
| Exam. Initial* | Cite No. <sup>1</sup> | Foreign Patent Document |                     |                                   | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>6</sup> |
|----------------|-----------------------|-------------------------|---------------------|-----------------------------------|---|--|---|----------------|
|                |                       | Office <sup>3</sup>     | Number <sup>4</sup> | Kind Code <sup>5</sup> (If known) |   |  |   |                |
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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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| Substitute for Form 1449A/PTO (Modified)<br>(Use as many sheets as necessary)    |                         | Attorney Docket No.:<br>50325-0084   | Application Number:<br>09/470,054 |
|--|-------------------------|--|-----------------------------------|
|  |                         | First Named Inventor:<br>Sunil K. Srivastava   |                                   |
|  |                         | Filing Date:<br>December 22, 1999  |                                   |
| <b>OTHER ART - NO PATENT LITERATURE DOCUMENTS</b>                                |                         |  |                                   |
| Examiner<br>Initials*  | Cite<br>No <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | Translation <sup>2</sup>          |
|  |                         | Robert Orfali et al., "The Essential Distributed Objects Survival Guide," 1996, pp. 448-449.   |                                   |
|  |                         | David Chappell, "Understanding Microsoft Windows 2000 Distributed Services," 2000, pp. 319-324.  |                                   |
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|  |                         | Koblitz, Neal, "A Course in Number Theory and Cryptography, 1994, Springer-Verlag New York Inc. 2nd Edition, 8 pages.  |                                   |
|  |                         | U.S. Patent Office, Office Action from application 09/407,785 (cover page and Office Action summary), dated January 14, 2004, 2 pages.   |                                   |
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| Examiner<br>Signature |  | Date Considered |  |
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| <b>Substitute for Form 1449A/PTO (Modified)</b><br>(use as many sheets as necessary) |                         | <b>Attorney Docket No.:</b><br>50325-0084  | <b>Application Number:</b><br>09/470,054 |
|--|-------------------------|--|--|
|  |                         | <b>First Named Inventor:</b><br>Sunil K. Srivastava  |  |
|  |                         | <b>Filing Date:</b><br>December 22, 1999   |  |
| <b>OTHER ART – NO PATENT LITERATURE DOCUMENTS</b>                                    |                         |  |  |
| Examiner<br>Initials*  | Cite<br>No <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | Translation <sup>2</sup>                 |
|  |                         | Robert Orfali et al., "The Essential Distributed Objects Survival Guide," 1996, pp. 448-449.   |  |
|  |                         | David Chappell, "Understanding Microsoft Windows 2000 Distributed Services," 2000, pp. 319-324.  |  |
|  |                         | Robert Orfali et al., "Client/Server Survival Guide Third Edition," 1999, p. 488.  |  |
|  |                         | Koblitz, Neal, "A Course in Number Theory and Cryptography, 1994, Springer-Verlag New York Inc. 2nd Edition, 8 pages.  |  |
|  |                         | U.S. Patent Office, Office Action from application 09/407,785 (cover page and Office Action summary), dated January 14, 2004, 2 pages.   |  |
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Mailing Date: April 19, 2004  
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Serial No.: 09/470,054

Attorney: CJP/ta:jn  
First Class Mail

Inventor(s): Sunil K. Srivastava, et al.

Title: METHOD AND APPARATUS FOR DISTRIBUTING AND UPDATING  
PRIVATE KEYS OF MULTICAST GROUP MANAGERS USING  
DIRECTORY REPLICATION

### Documents Enclosed:

- 1) Information Disclosure Statement (3 pgs)
- 2) PTO 1449 (3 pgs)
- 3) 35 References Cited
- 4) Check in the amount of \$180.00
- 5) Return Acknowledgment Postcard

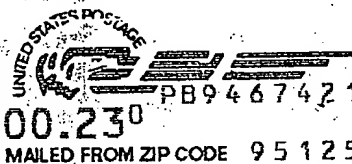
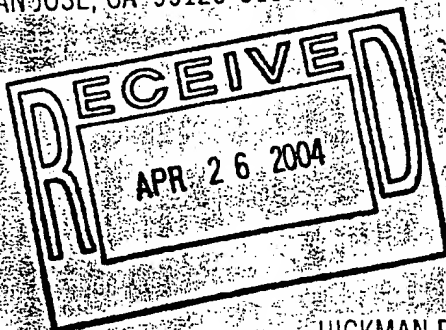


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